

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application:

James Lovette et al.

Serial No.: 10/612,241

Filed: July 1, 2003

For: **MULTI-LEVEL  
MICROCHANNEL HEAT  
EXCHANGERS**

**REQUEST FOR REFUND (IMPROPER  
CHARGE OF DEPOSIT ACCOUNT)**

162 North Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Customer No. 28960

Attn: Refund Section, Accounting Division  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450.

Sir:

This is a request for a refund, with respect to the charge to Deposit Account 08-1275, shown on the attached statement dated October 13, 2005 for the above-identified patent application.

Deposit Account 08-1275 was debited \$180.00 on October 13, 2005 under fee code 1806. A information disclosure statement was filed on September 30, 2005 (see the attached return receipt postcard). The information disclosure statement was filed within the three month statutory time period. Therefore, no information disclosure statement fee should have been debited from the deposit account.

Applicants respectfully requests a credit to Deposit Account 08-1275 in the amount of \$180.00. The Commissioner is hereby authorized to credit Deposit Account 08-1275. An originally executed duplicate of this Request in enclosed for this purpose.

Respectfully submitted  
HAVERSTOCK & OWENS LLP

Dated: 12-7-05


By: 

Thomas B. Haverstock  
Registration No.: 32,571  
Attorneys for Applicant(s)

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP

Date: 12-7-05 By: 



**United States  
Patent and  
Trademark Office**

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**Deposit Account Statement**

Requested Statement Month: October 2005  
 Deposit Account Number: 081275  
 Name: HAVERSTOCK & OWENS LLP  
 Attention: DANIELLE DALTON  
 Address: 162 NORTH WOLFE ROAD  
 City: SUNNYVALE  
 State: CA  
 Zip: 94086  
 Country: UNITED STATES OF AMERICA

DATE	SEQ	POSTING REF TXT	ATTORNEY DOCKET NBR	FEE CODE	AMT	BAL
10/04	5	5454492		1558	\$105.00	\$6,037.00
10/06	3	10402296	DF-00101	1811	-\$100.00	\$6,137.00
10/11	447	76520406	WILL-00101	7004	\$150.00	\$5,987.00
10/13	1	10643684	63048	1806	\$180.00	\$5,807.00
10/13	2	10612241	COOL-01400	1806	\$180.00	\$5,627.00
10/17	13	10122244	1004-89	1811	-\$100.00	\$5,727.00
10/17	14	10112244	SONY-16100	1811	\$100.00	\$5,627.00
10/17	16	09629035	081862.P204	1811	\$100.00	\$5,527.00
10/20	804	76554864	SCI-01800	7004	\$150.00	\$5,377.00
10/24	2	11065636	SSI-05900	1463	\$200.00	\$5,177.00
10/27	26	60724523	STFO-00400	2085	\$250.00	\$4,927.00
10/27	60	09792665	NXTGP002	1462	\$400.00	\$4,527.00
10/27	61	09318520	NXTGP001D1	1462	\$400.00	\$4,127.00
10/28	124	29241268	JEO-00400	2112	\$50.00	\$4,077.00
10/28	125	29241268	JEO-00400	2312	\$65.00	\$4,012.00
10/31	1	10121791	SSI-02500	1806	\$180.00	\$3,832.00

START BALANCE	SUM OF CHARGES	SUM OF REPLENISH	END BALANCE
\$6,142.00	\$2,510.00	\$200.00	\$3,832.00

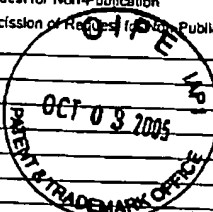
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COPY

Serial No.: 10/612,241 H&O File No.: COOL-01400 By: TEP/DE  
In the Matter of The Application of: James Lovette et al.  
Date Mailed: September 30, 2005 Due Date: 11-9-05  
The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Design Patent Application _____ Pages           | <input type="checkbox"/> Form PTO-1533 (Not. of Missing Parts)     | <input checked="" type="checkbox"/> Transmittal Letter <input checked="" type="checkbox"/> Duplicate |
| <input type="checkbox"/> Utility Patent Application _____ Pages          | <input type="checkbox"/> Form PTOL-858 (Issue Fee Trans.) & dup.   | <input checked="" type="checkbox"/> Certificate of Mailing   |
| <input type="checkbox"/> Prov. Patent Application _____ Pages            | <input type="checkbox"/> Form PTO-1050 (Cert. of Correction)       | <input type="checkbox"/> Certificate of Express Mailing  |
| <input type="checkbox"/> Declaration/Oath                                | <input type="checkbox"/> Maintenance Fee Transmittal Form          | Label No. _____  |
| <input type="checkbox"/> Power of Attorney _____                         | <input type="checkbox"/> Reexamination Request                     | <input type="checkbox"/> Check(s) \$ _____   |
| <input type="checkbox"/> Assignment                                      | <input type="checkbox"/> Notice of Appeal                          | <input checked="" type="checkbox"/> Deposit Account Authorization Form                               |
| <input type="checkbox"/> Form PTO-1584/1595                              | <input type="checkbox"/> Affidavit/Declaration                     |  |
| <input type="checkbox"/> Small Entity Statement                          | <input type="checkbox"/> Copy of Filing Receipt                    |  |
| <input type="checkbox"/> Drawings: _____ Sheets(s)                       | <input type="checkbox"/> Req. for Corr. of: _____                  |  |
| <input type="checkbox"/> Formal <input type="checkbox"/> Informal        | <input type="checkbox"/> Request for Non-Publication               |  |
| <input checked="" type="checkbox"/> Information Disclosure Statement     | <input type="checkbox"/> Rescission of Request for Non-Publication |  |
| <input checked="" type="checkbox"/> Form PTO-1448 and Copies of 1        |  |  |
| References Contained Thereon   |  |  |
| <input checked="" type="checkbox"/> Information Disclosure Certification |  |  |
| <input type="checkbox"/> Amendment/Response                              |  |  |
| <input type="checkbox"/> Extension of Time Request: _____ Month(s)       |  |  |
| <input type="checkbox"/> Petition  |  |  |

FOR PTO USE



COPY

Serial No.: 10/612,241 H&O File No.: 100L-01400 By: TSH/DR  
In the Matter of The Application of: James Lovette et al.  
Date Mailed: September 30, 2005 Due Date: 11-9-05  
The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Design Patent Application _____ Pages           | <input type="checkbox"/> Form PTO-1500 (Not. of Missing Parts)     | <input checked="" type="checkbox"/> Transmittal Letter <input checked="" type="checkbox"/> Duplicate |
| <input type="checkbox"/> Utility Patent Application _____ Pages          | <input type="checkbox"/> Form PTO-858 (Issue Fee Trans.) & dup.    | <input checked="" type="checkbox"/> Certificate of Mailing   |
| <input type="checkbox"/> Prov. Patent Application _____ Pages            | <input type="checkbox"/> Form PTO-1050 (Cert. of Correction)       | <input type="checkbox"/> Certificate of Express Mailing  |
| <input type="checkbox"/> Declaration/Oath                                | <input type="checkbox"/> Maintenance Fee Transmittal Form          | Label No. _____  |
| <input type="checkbox"/> Power of Attorney _____                         | <input type="checkbox"/> Reexamination Request                     | <input type="checkbox"/> Check(s) \$ _____   |
| <input type="checkbox"/> Assignment                                      | <input type="checkbox"/> Notice of Appeal                          | <input checked="" type="checkbox"/> Deposit Account Authorization Form                               |
| <input type="checkbox"/> Form PTO-1594/1595                              | <input type="checkbox"/> Affidavit/Declaration                     |  |
| <input type="checkbox"/> Small Entity Statement                          | <input type="checkbox"/> Copy of Filing Receipt                    |  |
| <input type="checkbox"/> Drawings: _____ Sheets(s)                       | <input type="checkbox"/> Req. for Corr. of: _____                  |  |
| <input type="checkbox"/> Formal <input type="checkbox"/> Informal        | <input type="checkbox"/> Request for Non-Publication               |  |
| <input checked="" type="checkbox"/> Information Disclosure Statement     | <input type="checkbox"/> Rescission of Request for Non-Publication |  |
| <input checked="" type="checkbox"/> Form PTO-1449 and Copies of _____    |  |  |
| References Contained Thereon   |  |  |
| <input checked="" type="checkbox"/> Information Disclosure Certification | <input type="checkbox"/> _____                                     |  |
| <input type="checkbox"/> Amendment/Response                              | <input type="checkbox"/> _____                                     |  |
| <input type="checkbox"/> Extension of Time Request: _____ Months(s)      | <input type="checkbox"/> _____                                     |  |
| <input type="checkbox"/> Petition  | <input type="checkbox"/> _____                                     |  |
|  | <input type="checkbox"/> _____                                     |  |

FOR PTO USE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	) Group Art Unit: 3743
James Lovette et al.	) Examiner: Tho V. Duong
Serial No.: 10/612,241	) <u>TRANSMITTAL LETTER</u>
Filed: July 1, 2003	) 162 N. Wolfe Road
For: <b>MULTI-LEVEL MICROCHANNEL</b>	) Sunnyvale, CA 94086
<b>HEAT EXCHANGERS</b>	) (408) 530-9700
	) Customer No. 28960

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Information Disclosure Statement, and Form PTO-1449, including a copy of the reference contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. An originally executed duplicate of this transmittal is enclosed for this purpose.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 9-30-05

By: Thomas B. Haverstsock  
Thomas B. Haverstsock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP.

Date: 9-30-05 By: Thomas B. Haverstsock

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

James Lovette et al.

Serial No.: 10/612,241

Filed: July 1, 2003

For: **MULTI-LEVEL MICROCHANNEL  
HEAT EXCHANGERS**

Group Art Unit: 3743

Examiner: Tho V. Duong

**TRANSMITTAL LETTER**

162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Customer No. 28960

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Information Disclosure Statement, and Form PTO-1449, including a copy of the reference contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. An originally executed duplicate of this transmittal is enclosed for this purpose.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 9/30/05

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP.

Date: 9-30-05 By: John A. Rasmussen

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

James Lovette et al.

Serial No.: 10/612,241

Filed: July 1, 2003

For: **MULTI-LEVEL MICROCHANNEL  
HEAT EXCHANGERS**

Group Art Unit: 3743

Examiner: Tho V. Duong

**CERTIFICATION FOR  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR § 1.97(e)**

162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

I, the person signing below, hereby certify that the printed publication contained in the enclosed supplemental information disclosure statement was cited within an Official Action mailed on August 9, 2005. Accordingly, I hereby certify that the reference contained within this supplemental information disclosure statement was not cited in a communication from a foreign patent office in a related foreign application, and, to the knowledge of the person signing the statement, after making reasonable inquiry, the reference contained within this supplemental information disclosure statement was not known to any individual designated in §1.56(c) more than three months prior to the filing of this supplemental information disclosure statement. 37 C.F.R. 1.97(e)(2).

PATENT  
Attorney Docket No.: COOL-01400

**Identification of Person Making Certification**

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 9-30-05

By: Thomas B. Haverstock

Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR § 1.8(a))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

- 2 -

HAVERSTOCK & OWENS LLP.

Date: 9-30-05

By: John D. Rumm



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

James Lovette et al.

Serial No.: 10/612,241

Filed: July 1, 2003

For: **MULTI-LEVEL MICROCHANNEL  
HEAT EXCHANGERS**

Group Art Unit: 3743

Examiner: Tho V. Duong

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT**

162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The citation listed below, copy attached, may be material to the examination of the above-identified application, and is therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make this citation of official record in this application.

Applicants have become aware of the following printed publication which may be material to the examination of this application:

- Japanese Patent Abstract JP 1-256775.

PATENT  
Attorney Docket No.: COOL-01400

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that this citation constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 9-30-05

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))  
I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

- 2 -

HAVERSTOCK & OWENS LLP.  
Date: 9-30-05 By: John D. Ryan

FORM PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No.: COOL-01400	Serial No.: 10/612,241		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use Several Sheets If Necessary)				Applicants: James Lovette et al.			
(37 CFR § 1.98(b))				Filing Date: July 1, 2003		Group Art Unit: 3743	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initials	Serial / Patent Number	Issue Date	Applicant / Patentee	Class	Subclass	Filing Date	
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
<b>FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS</b>							
	Document Number	Publication Date	Country / Patent Office	Class	Subclass	Translation	
						Yes	No
	AK	JP 1-256775	10/13/89	JP	F 25 D	9/00	X
	AL						
	AM						
	AN						
	AO						
<b>OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>							
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
	AW						
	AX						
	AY						
	AZ						
Examiner:				Date Considered:			
<b>EXAMINER:</b> Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

United States Patent and Trademark Office  
- Sales Receipt -

10/13/2005 DPOLLARD 00000002 081275 10612241

01 FC:1806 180.00 DA

Adjustment date: 12/29/2005 EEKUBAY1  
10/13/2005 DPOLLARD 00000002 081275 10612241  
01 FC:1806 180.00 CR

**ATTENTION ATTENTION ATTENTION**

**Method of Refund:**

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☐ Credit Card

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Patent/TM/App/Serial # 10,612,241

Program Area Tech Center 3753

Date Processed 12-22-05

**ATTENTION ATTENTION ATTENTION**